

**CERTIFICATE OF MAILING BY FIRST CLASS MAIL**

Docket No.

392531

Applicant(s): Charles A. Jennings

Serial No.

Filing Date

Examiner

Group Art Unit

09838,993

April 20, 2001

Not Yet Assigned

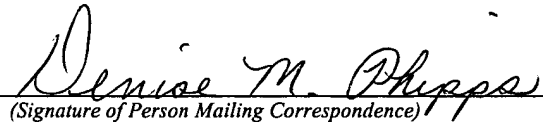
2152

**INVENTION: SYSTEM AND METHOD FOR STREAMING MEDIA**

I hereby certify that this Transmittal (1 page); Information Disclosure Statement (4 pages); Form PTO-1449 (Modified) (3 pages); copies of listed information items; authorization to charge additional fees that may be required, or credit any overpayment, to Deposit Account No. 12-0600; and pre-addressed postcard are being mailed in an envelope addressed to: Commissioner for Patents, Washington, D.C. 20231 on this 27th day of June, 2002.

Denise M. Phipps

(Typed or Printed Name of person Mailing Correspondence)



(Signature of Person Mailing Correspondence)

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PTO/SB/21 (08-00)

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## TRANSMITTAL FORM

(to be used for all correspondence after initial filing)

Application Number	09/838,993
Filing Date	April 20, 2001
First Named Inventor	Charles A. Jennings
Group Art Unit	2152
Examiner Name	Not Yet Assigned
Attorney Docket Number	392531

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Total Number of Pages in This Submission

8

### ENCLOSURES (check all that apply)

- ☐ Fee Transmittal Form
- ☐ Fee Attached
- ☐ Amendment / Response
- ☐ After Final
- ☐ Affidavits/declaration(s)
- ☐ Extension of Time Request
- ☐ Express Abandonment Request
- ☒ Information Disclosure Statement
- ☐ Certified Copy of Priority Document(s)
- ☐ Response to Missing Parts/Incomplete Application
- ☐ Response to Missing Parts under 37 CFR 1.52 or 1.53

- ☐ Assignment Papers (for an Application)
- ☐ Drawing(s)
- ☐ Licensing-related Papers
- ☐ Petition
- ☐ Petition to Convert to a Provisional Application
- ☐ Power of Attorney, Revocation Change of Correspondence Address
- ☐ Terminal Disclaimer
- ☐ Request for Refund
- ☐ CD, Number of CD(s) \_\_\_\_\_

- ☐ After Allowance Communication to Group
- ☐ Appeal Communication to Board of Appeals and Interferences
- ☐ Appeal Communication to Group (Appeal Notice, Brief, Reply Brief)
- ☐ Proprietary Information
- ☐ Status Letter
- ☒ Other Enclosure(s) (please identify below):
  - Form PTO-1449 (Modified)
  - Post Card
  - Certificate of Mailing

Remarks

### SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT

Firm or Individual name

James M. Stipek

Signature

*James M Stipek*

Date

June 27, 2002

### CERTIFICATE OF MAILING

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to: ~~Assistant~~ Commissioner for Patents, Washington, D.C. 20231 on this date: June 27, 2002

Typed or printed name

Denise Phipps

Signature

*Denise Phipps*

Date

June 27, 2002

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.



**PATENT**  
Atty Docket No. 392531

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

Applicant(s): Charles A. Jennings  
Serial No.: 09/838,993  
Filed: April 20, 2001  
For: System and Method for Streaming Media

Group No.: 2152  
Examiner: Not Yet Assigned

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Commissioner for Patents  
Washington, D.C. 20231

**INFORMATION DISCLOSURE STATEMENT**

**List of Sections Forming Part of This Information Disclosure Statement.**

The following sections are being submitted for this Information Disclosure Statement:

1. ☐ Preliminary Statements
2. ☒ FORM PTO-1449 (Modified)
3. ☐ Statement as to Information Not Found in Patents or Publications

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**CERTIFICATE UNDER 37 C.F.R. § 1.8 and § 1.10**

I hereby certify that, on the date shown below, this correspondence is being

- ☒ deposited with the United States Postal Service in an envelope addressed to Commissioner for Patents, Washington, D.C. 20231 with sufficient postage:

**MAILING**

- 37 C.F.R. § 1.8**  
☒ as first class mail.

- 37 C.F.R. § 1.10**  
☐ as "Express Mail Post Office to Addressee"  
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**FACSIMILE TRANSMISSION**

- ☐ transmitted by facsimile to the Patent and Trademark Office.

\_\_\_\_\_  
Denise Phipps  
Name of Depositor

*Denise Phipps*  
\_\_\_\_\_  
Signature

*June 27, 2002*  
\_\_\_\_\_  
Date

- 4. ☐ Identification of Prior Application in Which Listed Information Was Already Cited and for Which No Copies Are Submitted or Need Be Submitted
- 5. ☐ Cumulative Patents or Publications
- 6. ☒ Copies of Listed Information Items Accompanying This Statement
- 7. ☐ Concise Explanation of Non-English Language Listed Information Items
  - 7A. ☐ EPO Search Report
  - 7B. ☐ English Language Version of EPO Search Report
- 8. ☐ Translation(s) of Non-English Language Documents
- 9. ☒ Identification of Person(s) Making This Information Disclosure Statement

**Section 1. Preliminary Statements**

Applicants submit herewith patents, publications or other information of which they are aware, which they believe may be material to the examination of this application and in respect of which there may be a duty to disclose.

The filing of this information disclosure statement shall not be construed as a representation that a search has been made (37 C.F.R. § 1.97(g)), an admission that the information cited is, or is considered to be, material to patentability, or that no other material information exists.

The filing of this information disclosure statement shall not be construed as an admission against interest in any manner. Notice of January, 1992, 1135 O.G. 13-25, at 25.

**Section 2. Form PTO-1449 (Modified)**

- ☒ A completed Form PTO-1449 (Modified) is attached hereto.
- ☐ No Form PTO-1449 (Modified) is attached.

**Section 3. Statements as to Information Not Found in Patents or Publications (Information not listed in Form PTO 1449)**

**Section 4. Identification of Prior Application In Which Listed Information Was Already Cited and for Which No Copies Are Submitted Or Need Be Submitted**

This application relies, under 35 U.S.C. § 120, on the earlier filing date of prior application serial no. \_\_\_\_\_, filed on \_\_\_\_\_. The below listed references were submitted to and/or cited by the Office in this prior application. Therefore, copies are not submitted herewith.

**Section 5. Cumulative Patents or Publications**

\_\_\_\_\_ is cumulative of the following patents or publications listed on Form PTO-1449 (modified):

In accordance with 37 C.F.R. § 1.98(c) a copy of only \_\_\_\_\_ is being submitted with this information disclosure statement.

**Section 6. Copies of Listed Information Items Accompanying this Statement**

Legible copies of all items listed in Form PTO-1449 (Modified) accompany this information disclosure statement are enclosed.

- ☐ Exception(s) to above:
  - ☐ Items in prior application from which an earlier filing date is claimed for this application, as identified in Section 4.
  - ☐ Cumulative patents or publications identified in Section 5.

**Section 7. Concise Explanation of Non-English Language Listed Information Items**

(Note: Where information was cited in a search report by a foreign patent officer, this requirement is met by submitting an English language version of the search report. This requirement is not met by a statement that the reference was cited in the prosecution of a patent application.)

**Section 8. Translation(s) of Non-English Language Documents**

- ☐ Submitted herewith is an English translation of the following foreign language patents, publications or information or of those portions of those patents, publications, or information considered to be material:
- ☐ No English language translations of the foreign language patents, publications, or information or parts thereof are readily available, except for those listed above.
- ☐ The following foreign language documents submitted are believed to be the equivalent or substantial equivalent of the English language documents identified below, which are also submitted herewith.

**Section 9. Identification of Person(s) Making this INFORMATION DISCLOSURE STATEMENT**

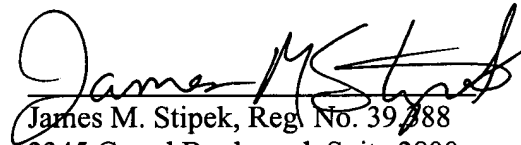
The person making this statement is the attorney who signs below on the basis of the information:

- ☐ supplied by the inventor(s).
- ☐ supplied by an individual associated with the filing and prosecution of this application (37 C.F.R. § 1.56(c)).
- ☒ in the attorney's file.

Respectfully submitted,

LATHROP & GAGE L.C.

By:



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Attorney of Record

PTO 1449 (Modified)

37 CFR 1.97

## INFORMATION DISCLOSURE STATEMENT

Atty Docket Number  
392531Serial Number  
09/838,993

Applicant

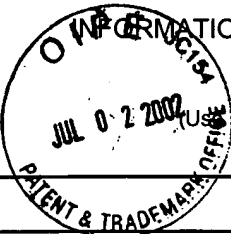
Charles A. Jennings

Filing Date  
April 20, 2001Group Art Unit  
2152

(Use several sheets if necessary)

## U.S. PATENT DOCUMENTS

EXAMINER INITIAL	DOCUMENT NUMBER							ISSUE DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
	6	1	5	1	3	1	9	11/21/00	Dommety et al.	370	395	12/19/96
	6	1	4	4	6	5	7	11/07/00	Baehr	370	352	11/06/97
	6	1	3	8	1	6	3	10/24/00	Nam et al.	709	231	04/16/97
	6	1	3	4	5	9	6	10/17/00	Bolosky et al.	709	233	09/18/97
	6	1	3	1	0	9	1	10/10/00	Light	707	5	05/14/98
	6	1	1	9	1	6	3	09/12/00	Monteiro et al.	709	227	11/08/99
	6	1	1	2	2	3	9	08/29/00	Kenner et al.	709	224	06/18/97
	6	1	1	2	2	3	6	08/29/00	Dollin et al.	709	224	11/21/96
	6	1	0	8	7	8	2	08/22/00	Fletcher et al.	713	153	06/24/97
	6	0	9	8	1	0	8	08/01/00	Sridhar et al.	709	239	01/30/98
	6	0	9	8	0	9	4	08/01/00	Barnhouse et al.	709	203	10/27/99
	6	0	9	1	7	7	7	07/18/00	Guetz et al.	375	240	05/26/98
	6	0	8	5	2	3	5	07/04/00	Clarke, Jr. et al.	709	219	09/16/97
	6	0	8	5	2	2	4	07/04/00	Wagner	709	203	03/11/97
	6	0	6	7	5	5	8	05/23/00	Wendt et al.	709	202	09/18/97
	6	0	6	7	5	4	2	05/23/00	Cariño, Jr.	707	4	09/30/97
	6	0	2	9	2	0	0	02/22/00	Beckerman et al.	709	226	03/09/98
	6	0	2	9	1	7	5	02/22/00	Chow et al.	707	104	06/07/96
	6	0	2	6	4	3	0	02/15/00	Butman et al.	709	203	03/24/97
	6	0	2	3	7	3	0	02/08/00	Tani	709	231	05/14/97
	6	0	1	4	7	0	6	01/11/00	Cannon et al.	709	231	03/14/97
	6	0	1	4	3	8	4	01/11/00	Weberhofer	370	455	10/27/97
	6	0	1	2	0	9	8	01/04/00	Bayeh et al.	709	246	02/23/98
	6	0	0	9	4	1	0	12/28/99	LeMole et al.	705	14	10/16/97
	6	0	0	6	2	6	4	12/21/99	Colby et al.	709	226	03/30/98

PTO 1449 (Modified)								37 CFR 1.97		Atty Docket Number 392531		Serial Number 09/838,993	
 INFORMATION DISCLOSURE STATEMENT (Use several sheets if necessary)								Applicant Charles A. Jennings					
								Filing Date April 20, 2001				Group Art Unit 2152	
U.S. PATENT DOCUMENTS													
EXAMINER INITIAL	DOCUMENT NUMBER							ISSUE DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE	
	6	0	0	5	8	5	8	12/21/99	Fallon et al.	370	351	06/17/97	
	5	9	9	9	1	7	9	12/07/99	Kekic et al.	345	349	11/17/97	
	5	9	9	1	3	0	6	11/23/99	Burns et al.	370	429	08/26/96	
	5	9	8	3	0	0	5	11/09/99	Monteiro et al.	395	200.61	07/06/98	
	5	9	8	2	8	9	1	11/09/99	Ginter et al.	380	4	11/04/97	
	5	9	5	9	9	9	4	09/28/99	Boggs et al.	370	399	08/19/96	
	5	9	5	8	0	1	6	09/28/99	Chang et al.	709	229	07/13/97	
	5	9	4	8	0	6	1	09/07/99	Merriman et al.	709	219	10/29/96	
	5	9	4	0	3	6	9	08/17/99	Bhagavath et al.	370	229	03/26/97	
	5	9	3	3	8	3	5	08/03/99	Adams et al.	707	104	04/09/97	
	5	9	3	0	4	9	3	07/27/99	Ottesen et al.	395	500	06/07/95	
	5	9	2	8	3	3	1	07/27/99	Bushmitch	709	231	10/30/97	
	5	9	1	0	9	5	4	06/08/99	Bronstein et al.	370	401	08/13/97	
	5	9	0	5	8	7	2	05/18/99	DeSimone et al.	395	200.75	11/05/96	
	5	8	9	2	9	1	5	04/06/99	Duso et al.	395	200.49	05/05/97	
	5	8	9	2	9	1	3	04/06/99	Adiga et al.	395	200.49	12/02/96	
	5	8	7	0	5	4	6	02/09/99	Kirsch	395	200.33	12/23/97	
	5	8	6	7	7	9	9	02/02/99	Lang et al.	707	1	04/04/96	
	5	8	6	7	6	6	5	02/02/99	Butman et al.	395	200.68	03/24/97	
	5	8	6	7	4	9	5	02/02/99	Elliott et al.	370	352	11/18/96	
	5	8	6	2	3	3	9	01/19/99	Bonnaure et al.	395	200.57	07/09/96	
	5	8	5	6	9	7	4	01/05/99	Gervais et al.	370	392	02/13/96	
	5	8	0	5	8	2	1	09/08/98	Saxena et al.	395	200.61	08/05/97	
	5	7	8	7	2	5	3	07/28/98	McCreery et al.	395	200.61	05/28/96	
	5	7	8	4	4	4	9	07/21/98	Ardon	379	230	12/05/95	



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